

VALID

Pat. No. 06005516 - 7  
Issue Date: 08/30/04

Group ID: E  
User ID: Ccholli  
Page 1  
KS: 5,383

Warning [Pages Of US References:]

page 7 has no references

page 8 has no references

Warning [Pages Of Foreign References:]

page 1 has no references

page 2 has no references

page 3 has no references

page 5 has no references

page 7 has no references

page 8 has no references

Warning [Pages Of Other References:]

page 2 has no references

page 3 has no references

page 4 has no references

page 6 has no references

E

CHECK LIST

Rule 47      Continuing Data      PCT      Disclaimer

No /      Yes /      No /      No /

Microfiche Appendix      CPA tag

No /      No /

Foreign Priority Claimed: No  
Acknowledged: No

State Code: CA /      Country Code:

Text Endorsement: 09757963.011001 /

=====

JACKET

SERIAL NUMBER      FILING DATE      CLASS      SUBCLASS      GAU

09/757,963 /      01/10/01 /      713 /      201 /      2131 /

FOREIGN PRIORITY

Country      Document Number      Date

DISCLAIMER

/ /

TITLE

Interoperability of vulnerability and intrusion detection systems

MICROFICHE APPENDIX

ASSISTANT EXAMINER:

First:

Aravind /

Middle:

K. /

Last:

Moorthy /

PRIMARY EXAMINER:

First:

Ayaz /

Middle:

Last:

Sheikh /

CLAIMS ALLOWED

Total      Print

33 /      1 /

DRAWINGS

Sheets      Figures      Print

4 /      4 /      Y /

=====

BLUE SLIP INFORMATION

SERIAL   NUMBER      CLASS      SUBCLASS      GAU

09/757,963 /      713 /      201 /      2131 /

INDEP. CLAIMS

/ / /  
1,12,23

TOTAL CLAIMS

33 /

=====

BLUE SLIP (Page 1)

INTERNATIONAL CLASSIFICATION

Class      SubClass

G06F /      11/30 /

CROSS-REFERENCES

Class      SubClass

713 /      200;202 /

709 /      /223;224 /

370 /      /229;230;241;254;255 /

=====

TERM EXTENSION

353 /

FIELD OF SEARCH

Class      SubClass

713 /      /  
201;200 /

709 / 223;224  
370 / 229;230;241;254;255

=====

OATH

INVENTOR NAME

First: John / Middle: S. / Last: Flowers / Signed: Yes /  
City: Emeryville /  
State: CA / ZIP Code: Country: Foreign ZIP:

INVENTOR NAME

First: Thomas / Middle: C. / Last: Stracener / Signed: Yes /  
City: Emeryville /  
State: CA / ZIP Code: Country: Foreign ZIP:

=====

PCT INFO

=====

CONTINUING DATA (Page 1)

<u>LINE</u>	<u>CODE</u>	<u>SERIAL NUMBER</u>	<u>FILING DATE</u>	<u>STATUS</u>	<u>DOCUMENT NO.</u>	<u>ISSUE DATE</u>
104	68 /	60/175,332 /	01/10/2000 /			/ /

=====

REFERENCES (Page 1) SERIAL NUMBER: 09/757,963 /  
FORM 892 /

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
5,557,742 /	/09/1996	Smaha et al. /	395 /	186 /
5,699,403 /	/12/1997	Ronnen /	379 /	32 /

5,892,903 ✓	✓04/1999 Klaus ✓	395 ✓	187.01 ✓
*6,185,689 ✓	✓02/2001 Todd, Sr. et al. ✓	713 ✓	201 ✓
No issue date available.			
*6,269,447 ✓	✓07/2001 Maloney et al. ✓	713 ✓	201 ✓
No issue date available.			
*6,324,656 ✓	✓11/2001 Gleichauf et al. ✓	714 ✓	37 ✓
No issue date available.			
*6,343,362 ✓	✓01/2002 Ptacek et al. ✓	713 ✓	201 ✓
No issue date available.			
*6,363,489 ✓	✓03/2002 Comay et al. ✓	713 ✓	201 ✓
No issue date available.			
*6,415,321 ✓	✓07/2002 Gleichauf et al. ✓	709 ✓	224 ✓
No issue date available.			

FOREIGN REFERENCES

<u>Foreign</u>	<u>Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
----------------	----------------	-------------	----------------	--------------	-----------------

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

Johnson, John, Simulated Attack for Real Network Security, Nov. 1995,  
Data Communications, pp. 31-32. ✓

-----  
Anderson, Teresa, Hunting for Holes, Apr. 1996, Security Management,  
pp. 1-2. ✓

-----  
Breyfogle, Stacey, Don't Stop at Your Servers, Jan. 1998, Software  
Magazine, pp. 1-3. ✓

-----  
Microsoft Computer Dictionary, 2002, Microsoft Press, Fifth Edition,  
pp. 31, 256, 378, 405. ✓

=====

REFERENCES (Page 2) SERIAL NUMBER: 09/757,963 ✓  
FORM 892 ✓

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
*6,484,315 ✓ No issue date available.	✓11/2002	Ziese ✓	717 ✓	173 ✓
*6,609,205 ✓ No issue date available.	✓08/2003	Bernhard et al. ✓	713 ✓	201 ✓

FOREIGN REFERENCES

<u>Foreign Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
------------------------	-------------	----------------	--------------	-----------------

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

=====

REFERENCES (Page 3) SERIAL NUMBER: 09/757,963 ✓  
FORM 1449 ✓

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
*6,298,445 ✓ No issue date available.	✓10/2001	Shostack et al. ✓	713 ✓	201 ✓
*6,477,651 ✓ No issue date available.	✓11/2002	Teal ✓	713 ✓	200 ✓
*6,711,127 ✓ No issue date available.	✓03/2004	Gorman et al. ✓	370 ✓	230 ✓

FOREIGN REFERENCES

<u>Foreign Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
------------------------	-------------	----------------	--------------	-----------------

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

=====

REFERENCES (Page 4) SERIAL NUMBER: 09/757,963 ✓  
FORM 892 ✓

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
5,919,257 ✓	✓07/1999	Trostle ✓	713 ✓	200 ✓
5,923,646 ✓	✓07/1999	Mandhyan ✓	370 ✓	254 ✓
5,961,644 ✓	✓10/1999	Kurtzberg et al. ✓	713 ✓	200 ✓
*6,470,384 ✓ No issue date available.	✓10/2002	O'Brien et al. ✓	709 ✓	223 ✓

\*6,708,212 ✓ /03/2004 Porras et al. ✓ 709 ✓ 224 ✓  
No issue date available.

\*6,735,169 ✓ /05/2004 Albert et al. ✓ 370 ✓ 229 ✓  
No issue date available.

\*6,771,597 ✓ /08/2004 Makansi et al. ✓ 370 ✓ 230 ✓  
No issue date available.

\*6,775,657 ✓ /08/2004 Baker ✓ 706 ✓ 45 ✓  
No issue date available.

FOREIGN REFERENCES

<u>Foreign</u>	<u>Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
WO0184270A2 ✓		/08/2001	WOX ✓		
WO0219661A2 ✓		-03/2002	WOX ✓	H04L ✓	29/06 ✓
WO0310617A1 ✓		/12/2003	WOX ✓	G06F ✓	11/30 ✓

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

=====

REFERENCES (Page 5) SERIAL NUMBER: 09/757,963 ✓  
FORM 1449 ✓

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
*6,101,606 ✓	/08/2000	Diersch et al. ✓		
No issue date available.				
*6,088,804 ✓	/07/2000	Hill et al. ✓		
No issue date available.				
6,006,328 ✓	/12/1999	Drake ✓		
5,388,211 ✓	/02/1995	Hornbuckle ✓		

FOREIGN REFERENCES

<u>Foreign</u>	<u>Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
----------------	----------------	-------------	----------------	--------------	-----------------

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

Ristenbatt, Martin P., Methodology For Network Communication  
Vulnerability Analysis, IEEE, 1988, pp. 493-499.

-----

Skaggs, B., et al., Network Vulnerability Analysis, IEEE, 2002, pp.  
493-495. ✓

-----  
Thatcher, Michelle, Keeping Your Technology Secure, Technology &  
Learning, Apr. 2002, pp. 38, 40, 42 and 44. ✓

=====

REFERENCES (Page 6) SERIAL NUMBER: 09/757,963 ✓  
FORM 1449 ✓

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
5,278,901 ✓	✓01/1994	Shieh et al. ✓		
5,796,942 ✓	✓08/1998	Esbensen ✓		
5,798,706 ✓	✓08/1998	Kraemer et al. ✓		
<1,3>5,892,903 ✓	✓04/1999	Klaus ✓		
5,931,946 ✓	✓08/1999	Terada et al. ✓		
5,958,015 ✓	✓09/1999	Dascalu ✓		
5,991,881 ✓	✓11/1999	Conklin et al. ✓		
*<1,4>6,185,689 ✓	✓02/2001	Todd, Sr. et al. ✓		
No issue date available.				
*6,263,444 ✓	✓07/2001	Fujita ✓		
No issue date available.				
*6,279,113 ✓	✓08/2001	Vaidya ✓		
No issue date available.				
*6,282,546 ✓	✓08/2001	Gleichauf et al. ✓		
No issue date available.				
*<3,1>6,298,445 ✓	✓10/2001	Shostack et al. ✓		
No issue date available.				
*6,301,668 ✓	✓10/2001	Gleichauf et al. ✓		
No issue date available.				
*6,321,338 ✓	✓11/2001	Porras et al. ✓		



No issue date available.

\*<1,6>6,324,656 / 11/2001 Gleichauf et al. /  
No issue date available.

\*6,330,562 / 12/2001 Boden et al. /  
No issue date available.

\*<1,7>6,343,362 / 01/2002 Ptacek et al. /  
No issue date available.

\*6,347,376 / 02/2002 Attwood et al. /  
No issue date available.

\*6,359,557 / 03/2002 Bilder /  
No issue date available.

\*<1,8>6,363,489 / 03/2002 Comay et al. /  
No issue date available.

\*6,370,648 / 04/2002 Diep /  
No issue date available.

\*6,408,391 / 06/2002 Huff et al. /  
No issue date available.

2002/0133721 / 09/2002 Adjaoute /

FOREIGN REFERENCES

<u>Foreign</u>	<u>Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
----------------	----------------	-------------	----------------	--------------	-----------------

WO 01/31420	A2 /	05/2001	WOX /		
-------------	------	---------	-------	--	--

WO 02/45380	A2 /	06/2002	WOX /		
-------------	------	---------	-------	--	--

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

=====

REFERENCES (Page 7) SERIAL NUMBER: 09/757,963 /  
FORM 1449 /

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
---------------------	-------------	-----------------	--------------	-----------------

FOREIGN REFERENCES

<u>Foreign</u>	<u>Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
----------------	----------------	-------------	----------------	--------------	-----------------

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

Abstract, W. Erhard, et al., [37 Network Traffic Analysis and Security

Monitoring With UniMon[38 , Proceeding of the IEEE Conference on High Performance Switching and Routing, 2000, ATM 2000, pp 439-446 (Jun. 2000).

-----  
Abstract, Dept. of Comput. Sci., California Univ., Davis, CA, USA, [37 A Methodology For Testing Intrusion Detection Systems[38 , IEEE Transactions on Software Engineering, vol. 22, Issue 10, pp 719-729 (Oct. 1996).

-----  
Abstract, Mounji A. Le Charlier, et al., [37 Distributed Audit Trail Analysis[38 , Proceeding of the Symposium on Network and Distributed System Security, 1995, pp 102-112 (Feb. 16-17, 1995).

-----  
Abstract, L. T. Heberlein, et al., [37 A Network Security Monitor[38 [0 Proceeding of the 990 IEEE Computer Society Symposium on Research in Security and Privacy, pp 296-04, (May 7-9, 1990).

-----  
Abstract, Xinzhou Quin et al., [37 Integrating Intrusion Detection and Network Management[38 , Network Operation and Management Symposium, 2002, NAOMS 2002. 2002 IEEE/IFIP, pp 329-344 (Apr. 15-19, 2002).

-----  
Abstract, D.G. Schwartz et al., [37 A Case-Based Approach To Network Intrusion Detection[38 , Proceeding of the 5th International Conference on Information Fusion, 2002, vol. 2 pp 1084-1089 (Jul. 8-11, 2002).

-----  
Abstract, [37 Open Source Security: Opportunity or Oxymoron[49 [38 [0 <sup>Computer</sup> vol. 35, Issue 3, pp 18-21 (Mar. 2002).

Abstract, Liu Dihua, et al. [37 Data Mining For Intrusion Detection[38  
, Proceedings ICII 2001[13 Beijing 2001 International Conference on  
Info-Tech and Info-Net, 2001, vol. 5, pp 7-12, (Oct. 29-Nov. 2001).  
-----

Abstract, Kai Hwang & M. Gangadharan, [37 Micro-Firewalls for Dynamic  
Network Security With Distributed Intrusion Detection[38 , NCA 2001  
IEEE International Symposium on Network Computing And Applications,  
2001. pp 68-79, (Oct. 8-10, 2001).  
-----

Abstract, Wenke Lee Stolfo, et al., [37 Real Time Data Mining-Based  
Intrusion Detection[38 , Proceedings DARPA Information Survivability  
Conference & Exposition II, 2001, DISCEX [3 01. vol. 1, pp 89-100  
(Jun. 12-14, 2001).✓  
=====

REFERENCES (Page 8) SERIAL NUMBER: 09/757,963 ✓  
FORM 1449 ✓

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
---------------------	-------------	-----------------	--------------	-----------------

FOREIGN REFERENCES

<u>Foreign Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
------------------------	-------------	----------------	--------------	-----------------

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

Abstract, J. Burns, et al. Automatic Management Of Network Security  
Policy, Proceedings DARPA Information Survivablity Conference &  
Exposition II 2001, DISCEX [3 01. vol. 2, pp 1-26, (Jun. 12-14, 2001).  
-----

Abstract, Heberlein, et al. [37 A Network Security Monitor[38 , 1990,  
Proceedings Research in Security & Privacy 1990 IEEE Computer Society  
Symposium on, pp. 296-304, (May 7-9, 1990).

=====

REFERENCES (Page 9) SERIAL NUMBER: 09/757,963 ✓  
FORM 1449 ✓

U.S. REFERENCES

<u>U.S. Pat No.</u>	<u>Date</u>	<u>Patentee</u>	<u>Class</u>	<u>SubClass</u>
<1,3>5,892,903 ✓	04/1999 ✓	Klaus ✓	395 ✓	187.01 ✓
5,136,523 ✓	✓08/1992	Landers ✓	395 ✓	54 ✓
<6,1>5,278,901 ✓	01/1994	Shieh et al. ✓	380 ✓	4 ✓
5,802,320 ✓	✓09/1998	Baehr et al. ✓	395 ✓	200.79 ✓

FOREIGN REFERENCES

<u>Foreign Doc No.</u>	<u>Date</u>	<u>Country</u>	<u>Class</u>	<u>SubClass</u>
------------------------	-------------	----------------	--------------	-----------------

OTHER REFERENCE CITATIONS (incl. Author, Title, Date, Pertinent Pages, etc.)

Rebecca Bacé, Infidel, Inc. [37 An Introduction to Intrusion Detection  
and Assessment[38 , 1999, 38 pages. —

— — — — —  
Fyodor, [37 Remote OS detection via TCP/IP Stack Finger Printing[38 ,  
October 18, 1998, 10pages. —

=====

\*\*\*\*\*